




PATENT
Attorney Docket No. IBX-004

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT(S): Chan et al.
SERIAL NO.: 10/645,209 GROUP NO.: Not yet assigned
FILING DATE: August 21, 2003 EXAMINER: Not yet assigned
TITLE: Advance Failure Prediction

CERTIFICATE OF FIRST CLASS MAILING UNDER 37 C.F.R. 1.8

I hereby certify that this correspondence, and any document(s) referred to as enclosed herein, is/are being deposited with the United States Postal Service as first class mail, postage prepaid, in an envelope addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on this 30 day of September, 2003.

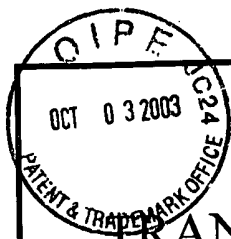

Susan Boucher

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Submitted herewith is/are:

Transmittal Form (1 page); Information Disclosure Statement (3 pages);
PTO Form 1449 (2 pages); copies of cited references (A-A5, B1-B2, C1-C11); and a
return-receipt postcard.



TRANSMITTAL FORM

Application Serial Number	10/645,209
Filing Date	August 31, 2003
First Named Inventor	Chan
Group Art Unit	Not yet assigned
Examiner Name	Not yet assigned
Attorney Docket No.	IBX-004
Patent No.	Not applicable
Issue Date	Not applicable

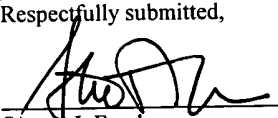
ENCLOSURES (check all that apply)

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|--|--|---|
| <input type="checkbox"/> Fee Transmittal Form
<input type="checkbox"/> Check Attached
<input type="checkbox"/> Copy of Fee Transmittal Form
<input type="checkbox"/> Amendment/Response
<input type="checkbox"/> Preliminary
<input type="checkbox"/> After Final
<input type="checkbox"/> Affidavits/declaration(s)
<input type="checkbox"/> Letter to Official Draftsperson including Drawings [Total Sheets ____]
<input type="checkbox"/> Petition for Extension of Time
<input checked="" type="checkbox"/> Information Disclosure Statement
<input checked="" type="checkbox"/> Form PTO-1449
<input checked="" type="checkbox"/> Copies of IDS Citations
<input type="checkbox"/> Certified Copy of Priority Document(s)
<input type="checkbox"/> Sequence Listing submission
<input type="checkbox"/> Paper Copy/CD
<input type="checkbox"/> Computer Readable Copy
<input type="checkbox"/> Statement verifying identity of above | <input type="checkbox"/> Copy of Notice to File Missing Parts of Application (PTO-1553)
<input type="checkbox"/> Formal Drawing(s)
<input type="checkbox"/> Request For Continued Examination (RCE) Transmittal
<input type="checkbox"/> Power of Attorney (Revocation of Prior Powers)
<input type="checkbox"/> Terminal Disclaimer
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<input type="checkbox"/> Request for Certificate of Correction
<input type="checkbox"/> Certificate of Correction (in duplicate) | <input type="checkbox"/> Notice of Appeal to Board of Patent Appeals and Interferences
<input type="checkbox"/> Appeal Brief (in triplicate)
<input type="checkbox"/> Status Inquiry
<input checked="" type="checkbox"/> Return Receipt Postcard
<input checked="" type="checkbox"/> Certificate of First Class Mailing under 37 C.F.R. 1.8
<input type="checkbox"/> Certificate of Facsimile Transmission under 37 C.F.R. 1.8
<input type="checkbox"/> Additional Enclosure(s) (please identify below) |
|--|--|---|

CORRESPONDENCE ADDRESS

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SIGNATURE BLOCK

Respectfully submitted,

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Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with the provisions of 37 C.F.R. 1.97 and 1.98, Applicants hereby make of record the patents and publications listed on the accompanying Form PTO-1449, and other information contained herein, for consideration by the Examiner in connection with the examination of the above-identified patent application. Copies of the patents and publications are enclosed.

REMARKS

In accordance with the provisions of 37 C.F.R. 1.97, this statement is being filed (CHECK ONE):

- ☒ (1) within three (3) months of the **filing date** of a national application other than a continued prosecution application under 37 C.F.R. 1.53(d), or within three (3) months of the **date of entry of the national stage** as set forth in 37 C.F.R. 1.491 in an international application, or before the mailing of the **first Office action** on the merits, or before the mailing of a **first Office action** after the filing of a request for continued examination under 37 C.F.R. 1.114; or
- ☐ (2) after the period defined in (1) but before the mailing date of a **final action** or a **notice of allowance** under 37 C.F.R. 1.311, and
- ☐ the requisite Statement is below, **OR**
- ☐ the requisite fee under 37 C.F.R. 1.17(p), namely **\$180.00**, is included herein, or

- ☐ (3) after the mailing date of a **final action** or **notice of allowance** but before the payment of the **issue fee**, **AND**
- ☐ the requisite Statement is below, **AND**
- ☐ the requisite petition fee under 37 C.F.R. 1.17(p), namely **\$180.00** is included herein.

It is respectfully requested that each of the patents and publications listed on the attached Form PTO-1449, and other information contained herein, be made of record in this application.

STATEMENT

As required under 37 C.F.R. 1.97(e), Applicant(s), through the undersigned, hereby state either that [check the appropriate space only if either (2) or (3) is checked on the previous page **and** the Statement is required]:

- ☐ 1. Each item of information contained in the Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application **not more than three months** prior to the filing of the Information Disclosure Statement; or
- ☐ 2. No item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this Statement after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to **any individual** designated in 37 C.F.R. 1.56(c) **more than three months** prior to the filing of the Information Disclosure Statement.

In addition, Applicant wishes to inform the Examiner about the following co-pending patent applications, publications, issued patents, and Office Actions issued therein:

U.S. Serial No. 10/243,963, filed on September 13, 2002, by Card et al. (IBX-001);

U.S. Serial No. 10/244,154, filed on September 13, 2002, by Reitman et al. (IBX-002);

U.S. Serial No. 10/621,532, filed on July 17, 2003, by Card et al. (IBX-005); and

U.S. Serial No. 10/656,607, filed on September 5, 2003, by Card et al. (IBX-008).

Date: September 30, 2003
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Respectfully submitted,



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FORM PTO - 1449

INFORMATION DISCLOSURE STATEMENT

ATTORNEY DOCKET NO.: IBX-004

APPLICANT(S): Chan et al.

SERIAL NO.: 10/645,209

FILING DATE: 8/21/03 GROUP: Not yet assigned

U.S. PATENT DOCUMENTS

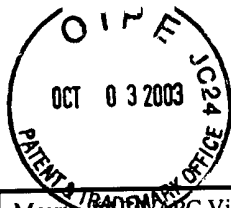
EXAM. INIT.		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	A1	5,467,883	11/21/95	Frye et al.	216	60	11/27/93
	A2	5,559,690	9/24/96	Keeler et al.	364	164	9/16/94
	A3	5,654,903	8/5/97	Reitman et al.	364	551.01	11/7/95
	A4	5,740,033	4/14/98	Wassick et al.	364	149	10/13/92
	A5	6,268,226	7/31/01	Angell et al.	438	16	6/30/99

FOREIGN PATENT DOCUMENTS

EXAM. INIT.		DOCUMENT NUMBER	DATE	COUNTRY CODE	CLASS	SUB CLASS	FILING DATE	ABSTRACT ONLY	ENGLISH LANG (Y/N)
	B1	WO 01/57605	8/9/01	WO	G05B	13/04	1/11/01	N	Y
	B2	DE196 37 917 A1	3/19/98	DE	G05B	13/04	9/17/96	Y	

OTHER ART, JOURNAL ARTICLES, ETC.

EXAM. INIT.	OTHER DOCUMENTS: (Including Author, Title, Date, Relevant Pages, Place of Publication)	
	C1	Card et al., "Dynamic Neural Control for Plasma Etch Process," <u>IEEE Transactions on Neural Networks</u> , (1997).
	C2	Dillon et al., "Guest Editorial Everyday Applications of Neural Networks," <u>IEEE Transactions on Neural Networks</u> , 8:4 (1997).
	C3	Hatzipantelis et al., "Comparing Hidden Markov Models with Artificial Neural Network Architectures for Condition Monitoring Applications," <u>Artificial Neural Networks</u> , 26-28, Conference Publication No. 409 (June 1995).
	C4	Kim et al., "Intelligent Control of Via Formation by Photosensitive BCB for MCM-L/D Applications," <u>IEEE Transactions on Semiconductor Manufacturing</u> , 12:503 (1999).
	C5	Konstantopoulos et al., "Controllers with Diagnostic Capabilities. A Neural Network Implementation. Journal of Intelligent and Robotic Systems," Department of Electrical Engineering, University of Notre Dame, IN 12: 197-228 (1995).



	C6	Moyne, "AEC/IPC Vision: A Research and Suppliers' Point of View," 3 rd Annual European AEC/APC Conference Proceedings (2002).
	C7	Rietman et al., "A Study on $\mathbb{R}^m \rightarrow \mathbb{R}^1$ Maps: Application to a 0.16- μ m Via Etch Process Endpoint," <u>IEEE</u> (2000).
	C8	Rietman et al., "A System Model for Feedback Control and Analysis of Yield: A Multistep Process Model of Effective Gate Length, Poly Line Width, and IV Parameters", <u>IEEE</u> (2001).
	C9	Rietman, "Neural Networks in Plasma Processing," <u>Journal of Vacuum Science and Technology: Part B, IEEE Transactions on Semiconductor Manufacturing</u> , 14:1 (2001).
	C10	Smyth et. al., "Hidden Markov Models an Neural Networks for Fault detection in Dynamic Systems," California Institute of Technology (1993).
	C11	Zhang et al, "Control of Spatial Uniformity in Microelectronics Manufacturing: An Integrated Approach," Proceedings of AEC/APC (2000).
EXAMINER		DATE CONSIDERED